

Application Serial No.: 09/732,008
Attorney Docket No. 019213-0311422
In Response to Office Action mailed July 13, 2005

This listing of claims will replace all prior versions and listings of claims in the Application.

LISTING OF CLAIMS:

1. **(Previously Presented)** A computer implemented method for providing an electronic collaboration tool with which a financial services client and one or more financial services provider participants may interact comprising the steps of:

- a) enabling authorization of one or more participants to access client data;
- b) enabling a client or participant to submit client data to the electronic

collaboration tool;

- c) enabling the client to submit one or more requests for one or more services to the electronic collaboration tool;

d) enabling the client to interact with one or more financial service provider participants through the electronic collaboration tool wherein the electronic collaboration tool further enables interaction among participants wherein interaction comprises exchange of client data.

2. **(Original)** The method of claim 1 wherein participants comprise advisors.

3. **(Original)** The method of claim 1 wherein participants comprise one or more entities authorized by the client to participate in the collaboration tool.

4. **(Original)** The method of claim 1 further comprising the step of e) enabling the client to define the scope of authorization for each participant.

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5. **(Original)** The method of claim 1 wherein client data comprises financial documents.
6. **(Original)** The method of claim 1 wherein participants comprise financial advisors associated with the client.
7. **(Original)** The method of claim 1 wherein client data comprises client work product wherein client work product comprises one or more documents, strategies, ideas, plans, correspondences and communications.
8. **(Original)** The method of claim 1 further comprising the step of f) enabling the client to view participant input wherein participant input comprises one or more of edits, analysis and comments related to client data.
9. **(Original)** The method of claim 1 further comprising a step of g) enabling the client to define one or more triggering events and one or more alert mechanisms for notifying the client of the occurrence of the one or more triggering events.
10. **(Original)** The method of claim 1 further comprising a step h) enabling the client to access a client history database wherein the client history database maintains information related to previous updates.

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11. **(Previously Presented)** A computer implemented method for providing an electronic collaboration tool with which one or more financial service provider participants may collaborate with each other comprising the steps of:

- a) enabling the one or more participants to receive authorization by a client to access client data;
- b) enabling the one or more financial service provider participants to access the collaboration tool where the collaboration tool enables the client to interact with one or more financial service provider participants and enables the financial service provider participants to interact with each other wherein client data is exchanged; and
- c) enabling the one or more financial service provider participants to access client data, as authorized by the client.

12. **(Original)** The method of claim 11 wherein participants comprise advisors.

13. **(Original)** The method of claim 11 wherein participants comprise one or more entity authorized by the client to participate in the collaboration tool.

14. **(Original)** The method of claim 11 further comprising the step of enabling the client to define the scope of authorization for each participant.

15. **(Original)** The method of claim 11 wherein client data comprises financial documents.

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16. **(Original)** The method of claim 11 wherein participants comprise financial advisors associated with the client.

17. **(Original)** The method of claim 11 wherein the client data comprises client work product wherein client work product comprises one or more of documents, strategies, ideas, plans, correspondences and communications.

18. **(Original)** The method of claim 11 further enabling the participant to provide participant input wherein participant input comprises one or more edits, analysis and comments related to client data.

19. **(Original)** The method of claim 11 wherein participant activity is stored in a history database.

20. **(Previously Presented)** A computer implemented system for providing an electronic collaboration tool with which a financial services client and one or more financial service provider participants may interact comprising:

a) authorization means for enabling authorization of one or more financial service provider participants to access client data;

b) data means for enabling a client or participant to submit client data to the electronic collaboration tool;

c) request means for enabling the client to submit one or more requests for one or more services to the collaboration tool; and

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d) interaction means for enabling the client to interact with one or more financial service provider participants through the collaboration tool wherein the collaboration tool further enables interaction among participants wherein interaction comprises exchange of client data.

21. **(Original)** The system of claim 20 wherein participants comprise advisors.

22. **(Original)** The system of claim 20 wherein participants comprise one or more entities authorized by the client to participate in the collaboration tool.

23. **(Original)** The system of claim 20 further comprising scope means for enabling the client to define the scope of authorization for each participant.

24. **(Original)** The system of claim 20 wherein client data comprises financial documents.

25. **(Original)** The system of claim 20 wherein participants comprise financial advisors associated with the client.

26. **(Original)** The system of claim 20 wherein client data comprises client work product wherein client work product comprises one or more of documents, strategies, ideas, plans, correspondences and communications.

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27. **(Original)** The system of claim 20 further comprising the view means for enabling the client to view participant input wherein participant input comprises one or more of edits, analysis and comments related to client data.

28. **(Original)** The system of claim 20 further comprising alert means for enabling the client to define one or more triggering events and one or more alert mechanisms for notifying the client of the occurrence of the one or more triggering events.

29. **(Original)** The system of claim 20 further comprising a history database for storing information related to previous updates.

30. **(Previously Presented)** A computer implemented system for providing a collaboration tool with which one or more participants may collaborate with each other comprising:

- a) authorization means for enabling the one or more participants to receive authorization by a client to access client data;
- b) access means for enabling the one or more participants to access the collaboration tool where the collaboration tool enables the client to interact with one or more participants and enables the participants to interact with each other wherein client data is exchanged; and
- c) data means for enabling one or more participants to access client data, as authorized by the client.

31. **(Original)** The system of claim 30 wherein participants comprise advisors.

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32. **(Original)** The system of claim 30 wherein participants comprise one or more entity authorized by the client to participant in the collaboration tool.

33. **(Original)** The system of claim 30 further comprising scope means for enabling the client to define the scope of authorization for each participant.

34. **(Original)** The system of claim 30 wherein client data comprises financial documents.

35. **(Original)** The system of claim 30 wherein participants comprise financial advisors associated with the client.

36. **(Original)** The system of claim 30 wherein client data comprises client work product wherein client work product comprises one or more of documents, strategies, ideas, plans, correspondences and communications.

37. **(Original)** The system of claim 30 further comprising input means for enabling the participant to provide participant input wherein participant input comprises one or more of edits, analysis and comments related to client data.

38. **(Original)** The system of claim 30 wherein participant activity is stored in a history database.

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39. **(Previously Presented)** A computer implemented method for providing a collaboration tool with which a client of more than one financial services advisor and one or more financial services advisor participants may interact comprising the steps of:

enabling a client of more than one financial services advisor to submit personal and financial data to the collaboration tool;

enabling the client to authorize one or more financial services advisor participants to access personal and financial data about the client;

enabling the client to submit one or more requests for one or more services to the collaboration tool, wherein the collaboration tool further comprises:

a client module that enables the client to access data associated with the client and define data level access control for one or more financial services advisors;

an advisor module that enables one or more financial services advisors to select a client for which the client has previously granted the financial services advisor access to that clients data, and to select an activity related to the selected client;

a client history database that stores data related to the client and records activity associated with the client; and

a collaboration module that enables a client and one or more authorized financial services advisors to communicate online.

40. **(Previously Presented)** The computer implemented method of claim 39 wherein the client module further comprises:

an action request module that enables a client to request one or more financial services advisors to update one or more of the client's files; and

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a program alert module that enables the client to define personalized alerts in response to triggering events defined by the client.

41. **(Previously Presented)** The computer implemented method of claim 39 wherein the collaboration module further comprises:

a document view module that enables a client and one or more authorized financial services advisors to view and edit one or more documents related to the client that are stored in a central repository;

an update module that enables the client and one or more financial services advisors to view a summary of modifications performed relative to one or more documents; and

a chat board that enables the client and one or more financial services advisors to engage in a real time online conference.

42. **(New)** A computer-implemented online collaboration system for enabling an individual client and a team of financial services advisors, which are associated with the individual client through the system, to communicate and share client specific information online, the system comprising:

a central repository for storing individual client profile information and individual client specific documents;

means for associating, through the system, one or more financial service advisors with an individual client;

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an authorization module for authorizing selected financial advisors associated with the individual client to access some or all of the client information and client specific documents, based on the advisor's level of authorization;

a client module for enabling the individual client to interact with the system, the client module comprising:

i) means for electronically presenting to the individual client, via a client interface, individual client specific information, including: a) individual client profile information relating to the individual client; b) financial services advisor information relating to financial service advisors, associated through the system, with the individual client; and c) individual client account information relating to one or more financial accounts associated with the individual client;

ii) a report module for enabling the individual client to access financial reports relating to the individual client;

iii) a client data input module for enabling the individual client to input information to the system; and

iv) a client document module for enabling the individual client to: a) upload documents to the central repository; and b) access individual client specific documents stored in the central repository; and

an advisor module for enabling financial services advisors to interact with the system, the advisor module comprising:

i) means for electronically presenting to an advisor, via an advisor interface, individual client specific information for an individual client with which the advisor is associated through the system, including: a) individual client profile information relating to

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the individual client; b) financial services advisor information relating to other financial service advisors, associated through the system, with the individual client; and c) client account information relating to one or more financial accounts associated with the individual client; and

ii) an advisor document module for enabling the advisor to: a) upload documents to the central repository; and b) access via the central repository, individual client specific documents, for an individual client with which the advisor is associated through the system.

43. (New) The system of claim 42 further comprising means for monitoring an individual client's financial assets and an alert module for issuing alerts to selected financial advisors associated with the individual client when predetermined alert conditions are satisfied.

44. (New) The system of claim 42 further comprising an audit module for auditing activities performed on behalf of an individual client.

45. (New) The system of claim 42 further comprising client history module for tracking, via the system, activity relating to an individual client.

46. (New) The system of claim 42 further comprising client history module for tracking, via the system, individual advisor's activity relating to an individual client.

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47. (New) The system of claim 42 wherein the client data input module is operable to: a) receive client specific data from an individual client once; and b) enable each or some of authorized financial advisors associated with the individual client to access the client specific data to avoid the need for an individual client to repetitively provide the same client specific data to financial service providers.

48. (New) The system of claim 42 further comprising a security module for requiring financial service providers and an individual client to log-in and provide a password to access the system, and further comprising means for customizing the presentation of service options available to a financial services provider based on requirements and a level of authorization.

49. (New) The system of claim 42 further comprising a security module for requiring financial service providers to log-in and provide a password to access the system, and further comprising means for customizing a financial service provider's access to functions and data for which the financial service provider has a need.

50. (New) The system of claim 42 further comprising a communication module for enabling financial service providers and an individual client to securely communicate through the system.

51. (New) The system of claim 42 further comprising a financial planning tool module integrated within the system for enabling financial service providers to provide financial advice to an individual client using the financial planning tools module and the individual

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client information stored in the central repository, without the need for manually reentering the individual client information.

52. (New) The system of claim 42 further comprising a communication module for enabling financial service providers and an individual client to securely, simultaneously view documents online through the system.

53. (New) The system of claim 42 further comprising a communication module for enabling financial service providers and an individual client to securely, simultaneously view individual client specific information through the system.

54. (New) The system of claim 42 further comprising means for adding, through the system, individual advisors to a team associated with an individual client.

55. (New) The system of claim 42 wherein the advisor module enables a financial services advisor to use the system for more than one individual client and means for selecting an individual client from among the more than one individual clients.